

FORM PTO 1312 (REV 5-93) U.S. DEPARTMENT OF COMMERCE AND TRADEMARK OFFICE TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. §371		ATTORNEY DOCKET NUMBER 2001_1486A
International Application No. PCT/JP01/00919		U.S. APPLICATION NO. (if known, see 37 CFR 4.5) 09/937,859
International Filing Date February 9, 2001		Priority Date Claimed February 9, 2000
Title of Invention CONTROLLER FOR DRIVING PICKUP OF OPTICAL DISK DRIVE		
Applicant(s) For DO/EO/US Toshihiko KAJI		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. §371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. §371. 3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1). 4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. §371(c)(2)) a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. §371(c)(2)). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)). a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19. 9. <input checked="" type="checkbox"/> An (executed) oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)). Attachment A 10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)). Items 11. to 14. below concern other document(s) or information included: 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. Attachment B 13. <input type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 14. <input checked="" type="checkbox"/> Other items or information: Copy of Notification of Missing Requirements under 35 U.S.C. § 371 in the United States Designated/Elected Office (DO/EO/US) Attachment C 12/05/2001 MNGUYEN 00000069 09937859		

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130.00 DP

THE COMMISSIONER IS AUTHORIZED
 TO CHARGE ANY DEFICIENCY IN THE
 FEES FOR THIS PAPER TO DEPOSIT
 ACCOUNT NO. 23-0975

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)
09/937;859

INTERNATIONAL APPLICATION NO.
PCT/JP01/00919

ATTORNEY'S DOCKET NO.
2001 1486A

15. ☒ The following fees are submitted:

CALCULATIONS

PTO USE ONLY

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):

Neither international preliminary examination fee nor international search fee paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1040.00
International Search Report has been prepared by the EPO or JPO \$ 890.00
International preliminary examination fee not paid of USPTO but international search
paid to USPTO \$ 740.00
International preliminary examination fee paid to USPTO but claims did not satisfy provisions
of PCT Article 33(1)-(4) \$ 690.00
International preliminary examination fee paid to USPTO and all claims satisfied provisions of
PCT Article 33(1)-(4) \$ 100.00

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ENTER APPROPRIATE BASIC FEE AMOUNT =

\$

Surcharge of \$130.00 for furnishing the oath or declaration later than ☒ 20 ☐ 30 months from the earliest
claimed priority date (37 CFR 1.492(e)).

\$130.00

Claims	Number Filed	Number Extra	Rate	
Total Claims	-20 =		X \$18.00	\$
Independent Claims	-3 =		X \$84.00	\$
Multiple dependent claim(s) (if applicable)			+ \$280.00	\$

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TOTAL OF ABOVE CALCULATIONS =

\$130.00

☐ Small Entity Status is hereby asserted. Above fees are reduced by 1/2.

\$

SUBTOTAL =

\$130.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest
claimed priority date (37 CFR 1.492(f)).

+

\$

TOTAL NATIONAL FEE =

\$130.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an
appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +

\$40.00

TOTAL FEES ENCLOSED =

\$170.00

Amount to be refunded \$

Amount to be charged \$

a. ☒ A check in the amount of \$170.00 to cover the above fees is enclosed. A duplicate copy of this form is enclosed.

b. ☐ Please charge my Deposit Account No. 23-0975 in the amount of \$_____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 23-0975.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or
(b)) must be filed and granted to restore the application to pending status.

19. CORRESPONDENCE ADDRESS



000513

PATENT TRADEMARK OFFICE

By:

Nils E. Pedersen,
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November 30, 2001

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[2001_1486A]

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U.S. APPLICATION NUMBER NO. 09/937,859			FIRST NAMED APPLICANT Toshihiko Kaji			ATTY. DOCKET NO. 2001-1486A		
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INTERNATIONAL APPLICATION NO.

PCT/JP01/00919

I.A. FILING DATE

02/09/2001

PRIORITY DATE

09/09/2000

00513

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CONFIRMATION NO. 7043

371 FORMALITIES LETTER

OC000000007037343

Date Mailed: 11/08/2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Priority Document
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Preliminary Amendments
- Request for Immediate Examination

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WENDEROTH, LIND & PONACK

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

FREDERICK SMITH

Telephone: (703) 305-3654

PART 1 - ATTORNEY/APPLICANT COPY

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09/937,859	PCT/JP01/00919	2001-1486A